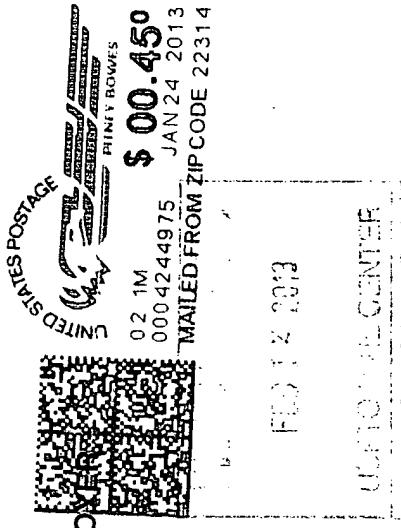


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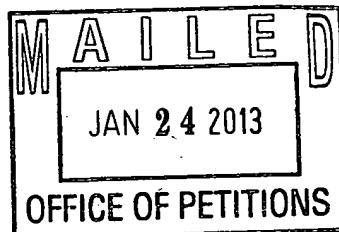
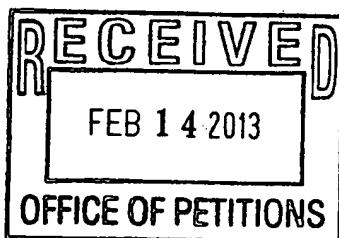
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GERALD W SPINKS
P.O. BOX 2729
BRYAN TX 77805



In re Patent No: 6,182,775

Issued: February 6, 2001

Application No. 09/095,389

Filed: June 10, 1998

Attorney Docket No. A98054US

NOTICE

This is a notice regarding your November 12, 2012 response which is being treated as a request for acceptance of a fee deficiency submission under 37 CFR 1.28.

On September 1, 1998, the Court of Appeals for the Federal Circuit held that 37 CFR 1.28(c) is the sole provision governing the time for correction of the erroneous payment of the issue fee as a small entity. See DH Technology v. Synergystex International, Inc. 154 F.3d 1333, 47 USPQ2d 1865 (Fed. Cir. Sept. 1, 1998).

The Office no longer investigates or rejects original or reissue applications under 37 CFR 1.56. **1098 Off. Gaz. Pat. Office 502 (January 3, 1989)**. Therefore, nothing in this Notice is intended to imply that an investigation was done.

Your fee deficiency submission under 37 CFR 1.28 is hereby **DISMISSED**.

The request under 37 CFR 1.28 cannot be accepted at this time since petitioner has responded by merely submitting a Statement Under 37 CFR 3.73(b). This response is considered improper since ownership must be established prior to or the same time as the request as described below.

37 C.F.R. 3.73 Establishing right of assignee to take action.

- (a) The inventor is presumed to be the owner of a patent application, and any patent that may issue therefrom, unless there is an assignment. The original applicant is presumed to be the owner of a trademark application or registration, unless there is an assignment.
- (b)
 - (1) In order to request or take action in a patent or trademark matter, the assignee must establish its ownership of the patent or trademark property of paragraph (a) of this section to the satisfaction of the Director. The establishment of ownership

by the assignee may be combined with the paper that requests or takes the action. Ownership is established by submitting to the Office a signed statement identifying the assignee, accompanied by either:

- (i) Documentary evidence of a chain of title from the original owner to the assignee (e.g., copy of an executed assignment). For trademark matters only, the documents submitted to establish ownership may be required to be recorded pursuant to § 3.11 in the assignment records of the Office as a condition to permitting the assignee to take action in a matter pending before the Office. For patent matters only, the submission of the documentary evidence must be accompanied by a statement affirming that the documentary evidence of the chain of title from the original owner to the assignee was or concurrently is being submitted for recordation pursuant to § 3.11; or
- (ii) A statement specifying where documentary evidence of a chain of title from the original owner to the assignee is recorded in the assignment records of the Office (e.g., reel and frame number).
- (2) The submission establishing ownership must show that the person signing the submission is a person authorized to act on behalf of the assignee by:
 - (i) Including a statement that the person signing the submission is authorized to act on behalf of the assignee; or
 - (ii) Being signed by a person having apparent authority to sign on behalf of the assignee, e.g., an officer of the assignee.
- (c) For patent matters only:
 - (1) **Establishment of ownership by the assignee must be submitted prior to, or at the same time as, the paper requesting or taking action is submitted.**

Therefore, since ownership was not established until the November 12, 2012 submission of a Statement Under 37 CFR 3.73(b) with no accompanying concurrent request for acceptance of a fee deficiency submission under 37 CFR 1.28, the response of November 12, 2012 is considered improper.

Further correspondence with respect to this matter should be addressed as follows:

By Mail: Mail Stop PETITIONS
Commissioner for Patents
Post Office Box 1450
Alexandria, VA 22313-1450

By hand: U.S. Patent and Trademark Office
Customer Service Window, Mail Stop Petitions
Randolph Building
401 Dulany Street
Alexandria, VA 22314

The centralized facsimile number is (571) 273-8300.

Additionally, the address given on the request differs from the address of record. A courtesy copy of this decision is being mailed to the address given on the petition; however, the Office will mail all future correspondence solely to the address of record.

Telephone inquiries concerning this decision should be directed to the undersigned at (571) 272-7751.

/Joan Olszewski/
Joan Olszewski
Petitions Examiner
Office of Petitions

cc: Andre J. Porter
Products and Technology Counsel
Baker Hughes Incorporated
14990 Yorktown Plaza Drive
Houston, Texas 77040